

03/01/02

1130 U.S. PTO

03/04/02

PTO/SB/05 (11-00)

Approved for use through 10/31/02 OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

UTILITY
PATENT APPLICATION
TRANSMITTAL

Attorney Docket No. 488002000200

First Inventor Kesavan ESUVARANATHAN

Title METHODS AND COMPOSITIONS FOR DELIVERY OF PHARMACEUTICAL AGENTS

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Express Mail Label No. EL569250783US

1000 U.S. PTO
10/086973

03/01/02

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL569250783US

Date of Deposit: March 1, 2002

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

Tamara Alcaraz

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ **Fee Transmittal Form (e.g. PTO/SB/17)**
(Submit an original, and a duplicate for fee processing)
2. ☒ **Applicant claims small entity status.**
See 37 CFR 1.27.
3. ☒ **Specification** *(preferred arrangement set forth below)* **Total Pages**
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ **Drawing(s) (35 USC 113)** **Total Sheets**
5. **Oath or Declaration** **Total Pages**
a. ☒ **Newly executed (original or copy)**
b. ☐ **Copy from a prior application (37 CFR 1.63(d))**
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ **Application Data Sheet. See 37 CFR 1.76 (2 Pages)**

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. **Nucleotide and/or Amino Acid Sequence Submission**
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. **Specification Sequence Listing on:**
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ **Assignment Papers (cover sheet & document(s)) (2 Pages total)**
10. ☐ 37 CFR 3.73(b) Statement (where there is an assignee) ☒ **Power of Attorney (2 pages)**
11. ☐ English Translation document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ **Preliminary Amendment (4 Pages)**
14. ☒ **Return Receipt Postcard (MPEP 503)**
Should be specifically itemized)
15. ☐ **Certified Copy of Priority Document(s)**
(if foreign priority is claimed)
16. ☐ **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).** Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ **Other 3.73(b) Certificate with a copy of the Assignment attached (2 pages total)**

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:

Prior application information

Examiner

Group / Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

25226

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

AND/OR ☒ Correspondence address below

Name	Gladys H. Monroy				
Address	Morrison & Foerster LLP				
City	Palo Alto	State	CA	Zip Code	94304
Country	United States	Telephone	650-813-5711	Fax	650-494-0792
Name (Print/Type)	Karen R. Zachow (46,332) for Gladys H. Monroy		Registration No. (Attorney/Agent)		32,430
Signature	Karen R. Zachow		Date March 1, 2002		

pa-668512

FEE TRANSMITTAL FOR FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Kesavan ESUVARANATHAN
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	488002000200

TOTAL AMOUNT OF PAYMENT

(\$899

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

03-1952

Deposit
Account
Name

Morrison & Foerster LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$370

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
65-20 = 45	x	9	= \$405
Independent Claims 5-3 = 2	x	42	= \$84
Multiple Dependent			= \$0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claims, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$489

** or number previously paid, if greater; For reissues, see above.

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$40

SUBMITTED BY

Name (Print/Type) Karen R Zachow (46,332) for Gladys H Monroy

Registration No.
(Attorney/Agent)

32,430

Complete (if applicable)

Telephone (650) 813-5711

Signature

Karen R Zachow

Date

March 1, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231

pa-668708